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FACSIMILE TRANSMITTAL SHEET

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TO:	Examiner A. Hoey	FROM:	Harry J. Macey
COMPANY:	U.S. Patent and Trademark Office	DATE:	11/05/03
FAX NUMBER:	703-872-9306	TOTAL NO. OF PAGES INCLUDING COVER:	12
PHONE NUMBER:	703-308-6094	SENDER'S REFERENCE NUMBER:	CSI-2012
RE:	Supplemental Information Disclosure Statement and Substitute Form 1449A for USSN 09/686,729		

☐ URGENT ☐ FOR REVIEW ☐ PLEASE COMMENT ☐ PLEASE REPLY ☐ PLEASE RECYCLE

PLEASE DELIVER TO EXAMINER HOEY
GROUP ART UNIT 3765

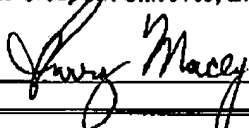
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1301 SHOREWAY ROAD, SUITE 121
BELMONT, CA 94002-4106
TEL. 650.654.9555/FAX 650.654.9554

PATENT
Attorney Docket No.: CSI-2012

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**CERTIFICATE OF TRANSMISSION BY "FACSIMILE"**

I hereby certify that this correspondence and accompanying documents are being facsimile transmitted to the United States Patent and Trademark Office, addressed to Group Art Unit 3765, and to the attention of: Commissioner for Patents, Alexandria, VA 22313 on November 5, 2003.



Harry Macey

In re Application of:

Nguyen, et al.

Serial No.: 09/686,729

Filing Date: October 10, 2000

Title: MINIMALLY INVASIVE
ANNULOPLASTY PROCEDURE AND
APPARATUS

Examiner: A. Hoey

Group Art Unit: 3765

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Commissioner for Patents
Alexandria, VA 22313

Sir:

Transmitted herewith are the following:

1. Supplemental Information Disclosure Statement (2 pgs)
 2. Substitute Form 1449A (1 pg) and a copy of the cited reference
- ☐ Authorization to charge the _____ is provided on the _____. A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge the \$180 fee for the Supplemental Information Disclosure Statement to Deposit Account No. 50-1947 referencing Attorney Docket No. CSI-2012. A duplicate copy of this sheet is enclosed.

[X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. 50-1947, referencing Attorney Docket No. CSI-2012.

Respectfully submitted,

Date: November 5, 2003

By: 

Harry J. Macey

Reg. No. 32,818

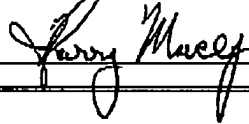
Attorney for Applicant

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1301 Shoreway Road, Suite 121
Belmont, CA 94002-4106
Telephone: 650.654.9555
Facsimile: 650.654.9554

PATENT
Attorney Docket No.: CSI-2012

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**CERTIFICATE OF TRANSMISSION BY "FACSIMILE"**

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Title: MINIMALLY INVASIVE
ANNULOPLASTY PROCEDURE AND
APPARATUS

Examiner: A. Hoey

Group Art Unit: 3765

**SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97**

Commissioner for Patents
Alexandria, VA 22313

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, applicant submits for consideration in the above-identified application the International Preliminary Examination Report (IPER) listed on the attached Substitute Form 1449A. A copy of the PCT transmittal sheet for the IPER, which is directed to the counterpart International PCT application, also is enclosed. The Examiner is requested to make the document of record.

This Information Disclosure Statement is submitted:

- ☐ Within three months of the application filing date or before receipt of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☒ After receipt of a first Office Action on the merits but before a final Office Action or Notice of Allowance.

- ☒ A fee is required. Authorization to charge the undersigned's deposit account \$180.00 is attached.
- ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After receipt of a final Office Action or Notice of Allowance, but before payment of the issue fee. Accordingly, a Petition requesting consideration of the Information Disclosure Statement, an authorization to charge our deposit account, and a Certification under 37 C.F.R. § 1.97(e) are provided below.

Applicant would appreciate the Examiner initialing and returning the Substitute Form 1449A, indicating that the information has been considered and made of record herein.

This Supplemental Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the U.S. Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to Deposit Account No. 50-1947 referencing Attorney Docket No. CSI-2012. However, the Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Respectfully submitted,

Date: November 5, 2003

By: 

Harry J. Macey

Reg. No. 32,818

Attorney for Applicant

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Please type a plus sign (+) inside this box →



PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0851-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO		Complete if Known	
		Application Number	09/686,729
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Filing Date	October 10, 2000
		First Named Inventor	John Nguyen
		Group Art Unit	3765
		Examiner Name	A. Hoey
(use as many sheets as necessary)		Attorney Docket Number	CS1-2012
Sheet	1	of	1

110503

U.S. PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	U.S. Patent Documents		Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, columns, lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			

FOREIGN PATENT DOCUMENTS								
Examiner Initials ¹	Cite No. ¹	Foreign Patent Documents			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁰
		Office ³	Number ³	Kind Code ³ (if known)				

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials ¹	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
JHX	1.	International Preliminary Examination Report PCT/US01/42653 of 03 January 2003	

Examiner Signature		Date Considered	11/6/03
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¹EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Received from < 6506549554 > at 11/5/03 8:21:33 PM [Eastern Standard Time]